

DETAILED ACTION

EXAMINER'S AMENDMENT

1. An examiner's amendment to the record appears below. Should the changes and/or additions be unacceptable to applicant, an amendment may be filed as provided by 37 CFR 1.312. To ensure consideration of such an amendment, it MUST be submitted no later than the payment of the issue fee.

Authorization for this examiner's amendment was given in a telephone interview with Michael Lazzara September 22, 2008.

The application has been amended as follow:

Claim 1 has been replaced by:

-- Claim 1. In a financial institution, a method for managing corporate action information of at least one entity, said method comprising:
electronically receiving data associated with at least one corporate action of at least one of said entities, wherein said corporate action data includes data associated with at least one of a voluntary corporate action and a mandatory corporate action;
electronically matching at least a portion of said corporate action data to at least one client of the financial institution;
electronically generating at least one notification including at least a portion of said corporate action data; and,
electronically performing at least one workflow management activity in connection with generating said notification including said corporate action data.
designating at least one of said mandatory corporate action data and said voluntary corporate action data with a preliminary status;
electronically establishing said preliminary status if at least an important date and a meeting date are not associated with said mandatory corporate action data;
updating said preliminary status once said important date and said meeting date are associated with said mandatory corporate action data; and,

recycling at least one announcement associated with said mandatory corporate action data for identifying at least one new holder associated with said mandatory corporate action data.

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Claim 38 has been replaced by:

-- Claim 38. In a financial institution, a computer-readable medium including instructions for performing a method for managing corporate action information of at least one entity, said medium comprising:
instructions for electronically receiving data associated with at least one corporate action of at least one of said entities, wherein said corporate action data includes data associated with at least one of a voluntary corporate action and a mandatory corporate action;
instructions for matching at least a portion of said corporate action data to at least one client of the financial institution;
instructions for electronically generating at least one notification including at least a portion of said corporate action data; and,
instructions for electronically performing at least one workflow management activity in connection with generating said notification including said corporate action data:
electronically designating at least one of said mandatory corporate action data and said voluntary corporate action data with a preliminary status;
electronically establishing said preliminary status if at least an important date and a meeting date are not associated with said mandatory corporate action data;
updating said preliminary status once said important date and said meeting date are associated with said mandatory corporate action data; and,
recycling at least one announcement associated with said mandatory corporate action data for identifying at least one new holder associated with said mandatory corporate action data.

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Claim 39 has been replaced by:

-- Claim 39. In a financial institution, a system for managing corporate action information of at least one entity, said system comprising:
means for receiving data associated with at least one corporate action of at least one of said

entities, wherein said corporate action data includes data associated with at least one of a voluntary corporate action and a mandatory corporate action;

means for matching at least a portion of said corporate action data to at least one client of the financial institution;

means for generating at least one notification including at least a portion of said corporate action data; and, means for performing at least one workflow management activity in connection with generating said notification including said corporate action data:

means for designating at least one of said mandatory corporate action data and said voluntary means for corporate action data with a preliminary status;

means for establishing said preliminary status if at least an important date and a meeting date are not associated with said mandatory corporate action data;

means for updating said preliminary status once said important date and said meeting date are associated with said mandatory corporate action data; and,

recycling at least one announcement associated with said mandatory corporate action data for identifying at least one new holder associated with said mandatory corporate action data.

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Claim 40 has been replaced by:

-- Claim 40. In a financial institution, a method for managing corporate action information of at least one entity, said method comprising:

electronically receiving data associated with at least one corporate action of at least one of said entities, wherein said corporate action data includes data associated with at least one of a voluntary corporate action and a mandatory corporate action;

matching at least a portion of said corporate action data to at least one client of the financial institution;

electronically generating at least one notification including at least a portion of said corporate action data;

electronically performing at least one workflow management activity in connection with

electronically generating said notification including said corporate action data;

electronically designating at least one of said mandatory corporate action data and said voluntary

corporate action data with a preliminary status;
electronically establishing said preliminary status if at least an important date and a meeting date are not associated with said mandatory corporate action data;
electronically updating said preliminary status once said important date and said meeting date are associated with said mandatory corporate action data; and,
recycling at least one announcement associated with said mandatory corporate action data for identifying at least one new holder associated with said mandatory corporate action data.

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- - 41. (New) In a financial institution, a method for managing corporate action information of at least one entity, said method comprising:
electronically receiving data associated with at least one corporate action of at least one of said entities, wherein said corporate action data includes data associated with at least one of a voluntary corporate action and a mandatory corporate action;
electronically matching at least a portion of said corporate action data to at least one client of the financial institution;
electronically generating at least one notification including at least a portion of said corporate action data;
electronically performing at least one workflow management activity in connection with electronically generating said notification including said corporate action data;
maintaining at least a portion of said mandatory corporate action data in a designated new category pending an indication of review of said mandatory corporate action data;
associating at least a portion of said corporate action data with a preparation date category;
electronically associating at least a portion of said mandatory corporate action data with at least one important date;
associating at least a portion of said mandatory corporate action data with at least one meeting date;
electronically associating at least a portion of at least one of said mandatory corporate action data and said voluntary corporate action data with a missing information category;

electronically associating said missing information category with said portion of said mandatory corporate action information in connection with identifying at least one important date and rate information for said portion of said mandatory corporate action data; and,
automatically releasing said corporate action data for notification after occurrence of said receiving said corporate action data, wherein said corporate action data includes at least mandatory corporate action data;

electronically designating at least one of said mandatory corporate action data and said voluntary corporate action data with a preliminary status;

establishing said preliminary status if at least an important date and a meeting date are not associated with said mandatory corporate action data;

updating said preliminary status once said important date and said meeting date are associated with said mandatory corporate action data; and,

recycling at least one announcement associated with said mandatory corporate action data for identifying at least one new holder associated with said mandatory corporate action data.

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- - 42. (New) In a financial institution, a method for managing corporate action information of at least one entity, said method comprising:

electronically receiving data associated with at least one corporate action of at least one of said entities, wherein said corporate action data includes data associated with at least one of a voluntary corporate action and a mandatory corporate action;

electronically matching at least a portion of said corporate action data to at least one client of the financial institution;

electronically generating at least one notification including at least a portion of said corporate action data;

performing at least one workflow management activity in connection with generating said notification including said corporate action data;

electronically projecting proceeds associated with at least a portion of said corporate action data, wherein said projecting said proceeds includes considering an amount of said proceeds expected to be received, considering a date on which said proceeds are expected to be received and posted,

and considering a projection status, and wherein said portion of said corporate action data includes mandatory corporate action data and voluntary corporate action data; basing said projection of said proceeds on at least one of an eligible position associated with said mandatory corporate action data and a rate associated with said mandatory corporate action data; and, basing said projection of said proceeds on at least a responded position for an option associated with said voluntary corporate action data;

electronically designating at least one of said mandatory corporate action data and said voluntary corporate action data with a preliminary status;

electronically establishing said preliminary status if at least an important date and a meeting date are not associated with said mandatory corporate action data;

updating said preliminary status once said important date and said meeting date are associated with said mandatory corporate action data; and,

recycling at least one announcement associated with said mandatory corporate action data for identifying at least one new holder associated with said mandatory corporate action data.

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Allowable Subject Matter

2. Claims 1-42 are allowable over the prior art of record and as argued by Applicant's representative in their response dated 3/10/2008.

Conclusion

3. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Clement Graham whose telephone number is (571) 272-6797. The examiner can normally be reached on Monday-Thursday from 7:00AM to 5:30PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Kambiz Abdi can be reached on (571) 272-6702. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

**/Frantzy Poinvil/
Primary Examiner, Art Unit 3692**

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Sept 26, 2008